

**State of Georgia
Record Series Profile
Records Retention Schedule**

Application #: 970221-01

Sheet: 1 of 1

Schedule #: 74-0046A

Effective Date: 03/20/97

Supersedes Schedule #: 74-0046A

Effective Date: 02/02/91

Agency Code: 0484

Agency: Department of Transportation

Creating Office: Administration Division

Series/Title Dates: Warehouse Supplies and Inventory Control File, 1971 - [Ongoing]

Access: Open

Class: Individual

Function Documented: The control of and cost accounting system for warehouse inventories and warehouse shop repair orders.

Consists of: Warehouse request invoice (DOT Form 592), warehouse reconciliation forms (ledger sheets), and warehouse shop repair orders.

Arrangement: By fiscal year, thereunder by warehouse number.

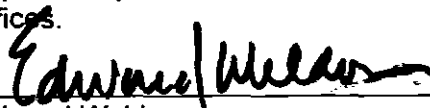
Media: Paper

Retention Requirements: Federal Regulation: Three (3) years (Federal -Aid Highway Program Manual 1-6-2(4)(c), July 2, 1979)

Disposition Instructions: Cut off files at end of each fiscal year
District Offices, Office of Equipment Management, Office of Materials and Research, Maintenance Activities Unit:
Hold in current files area one (1) year;
Transfer to local holding area;
Hold two (2) years;
Destroy.

Cost Accounting Unit:
Hold in current files area one (1) year;
Transfer to State Records Center;
Hold two (2) years;
Destroy.

This record series profile gives the records retention plan and disposition instructions approved by the State Records Committee for the named record series by the named creating offices.


Edward Weldon
Secretary of State Designee

7/23/97
Date

WAREHOUSE SUPPLIES AND INVENTORY CONTROL FILE

Approval disposition instruction for schedule 74-046A should be amended as follows:

The original copy will be filed by the office responsible for the CAMS data entry for the following offices:

District Offices, Office of Equipment Management, Office of Materials and Research, Maintenance Activities Unit and the Cost Accounting Unit.

All of the above offices except for the Cost Accounting Unit should follow the following Disposition instructions:

File series be cut off at the end of each fiscal year. Hold current file area one year; Transfer to local holding area; hold 2 years then destroy.

Cost Accounting Unit - Close at end of fiscal year. Hold in current file area one year; then transfer to State Record Center; hold 2 years then destroy.

NOTE: These records may not be destroyed until Dept. of Transportation receives authorization from Federal Highway Administration prior to destruction of these records.

Office Head: John M. Suckerdin Date: 2-12-97

Records Management Analyst: Martha B Lane Date: 2-12-97

STATE OF GEORGIA
RECORDS RETENTION SCHEDULE
RECORDS SERIES PROFILE
APPLICATION #900726-01

Sheet 1 of 2

SCHEDULE #: 74-0046-A

EFFECTIVE DATE: 02/02/91

Supersedes Schedule #: 74-46-A

Effective Date: 10/09/85

Agency Code: 0484

Agency: Department of Transportation.

Creating

Office: Administration Division

Series

Title/Dates: "Warehouse Supplies and Inventory Control File,"
1971 and continuing

Access: Open

Class: Individual

Related To: The control of and cost accounting system for
warehouse inventories and warehouse shop repair
orders. Included are warehouse request invoice
(DOT Form 592), warehouse reconciliation forms
(ledger sheets), and warehouse shop repair orders.

Arrangement: By fiscal year, thereunder by warehouse number

Retention

Requirement: Federal Regulation: three (3) years (Federal-Aid
Highway Program Manual, 1-6-2(4)(c)), July 2,
1979.

Audit: three (3) years

Administrative: three (3) years

Media: Paper

Disposition

Instructions:

Special Orders: Cost Accounting, General Office
Cut off at end of fiscal year,
Transfer to local holding area,
Hold one (1) year,
Transfer to State Records Center,
Hold two (2) years,
Destroy.

continued on sheet 2

RECORDS SERIES PROFILE
RECORDS RETENTION SCHEDULE
APPLICATION #900726-01

Sheet 2 of 2

SCHEDULE #: 74-0046-A

EFFECTIVE DATE: 02/02/91

Supersedes Schedule #: 74-46-A

Effective Date: 10/09/85

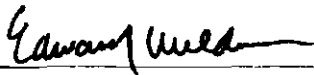
Disposition
Instructions: (continued)

Regular Orders: District Warehouse

Cut off at end of fiscal year,
Hold in current files area one (1) year
Transfer to local holding area,
Hold two (2) years,
Destroy.

NOTE: Dept. of Transportation must receive authorization
from Federal Highway Administration prior to
destruction of these records.

This records retention plan gives the State Records Committee
approved retention instructions for the named records series by
the named creating office.



Edward Weldon
Secretary of State Designee

6 Feb 1991

Date



850806-03

APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		1. Agency Address	FOR RECORDS MANAGEMENT USE	
Application Date			Application Number	74-46-A
Application Number		Atlanta, Georgia 30334-1002	Date Received	Date Completed
			AUG 6 1985	OCT 9 1985
2. Person to Contact		Working Title	Telephone Number	
Annette Mitchell		Principal Accountant	656-5256	
3. Action Requested				
a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate.				
b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated.				
c. <input checked="" type="checkbox"/> Amend Application No. 74-46 Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void				
4. Dates of Series		5. Records Series Title (followed by title used in office; if different)		
Earliest	Latest			
1971	to date	Warehouse Supplies and Inventory Control File		
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?				
DIVISION OF ADMINISTRATION PROVIDES STAFF SUPPORT TO THE DEPARTMENT IN THE AREAS OF GENERAL ACCOUNTING; AUDITS AND FISCAL PROCEDURES; PERSONNEL AND TRAINING; CONTRACTS PROCUREMENT AND ADMINISTRATION; EQUIPMENT CONTROL; PURCHASING; COST ACCOUNTING; GENERAL FILES; RECORDS MANAGEMENT; DEPARTMENT BUDGET; SAFETY RISK OPERATIONS AND TELECOMMUNICATIONS; INVENTORY AND WAREHOUSE CONTROL; LEGAL AFFAIRS AND TOLLWAYS				
GENERAL SUPPORT SERVICES IS RESPONSIBLE FOR CONTRACT PROCUREMENT AND ADMINISTRATION; EQUIPMENT CONTROL; PURCHASING; COST ACCOUNTING; GENERAL FILES; RECORD MANAGEMENT; DEPARTMENT BUDGET; SAFETY AND RISK OPERATION; TELECOMMUNICATIONS; HEATING AND AIR CONDITIONING; WAREHOUSE; LEGAL AFFAIRS AND TOLLWAYS.				
COST ACCOUNTING RESPONSIBLE FOR VEHICLE COST AND INVENTORY CONTROL.				
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.				
Documents relating to: The control of and Cost Accounting System for Warehouse Inventories and Warehouse Shop Repair Orders				
Included are: Department Warehouse request invoice (Form 592) and DOT Book to Warehouse reconciliation form (ledger sheet) and Warehouse Shop Repair Orders				
File is arranged: Chronologically by fiscal year there under numerically by warehouse number.				
8. Monthly Reference Rate How often are records referred to which are:				
One to six months old 15; Seven to twelve months old 10; Thirteen to twenty-four months old 2;				
twenty-five months and older 7				
9. Annual Rate of Accumulation of Records				
Letter-size drawers 4; Legal-size drawers; Shelves; Other (specify) 6 cu ft a year				

X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X		c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? Districts Warehouses
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements The following requires the series to be kept:

a. State Law	_____ years.	d. Audit period	3 _____ years.
b. Statute of limitation	_____ years.	e. Administrative need	3 _____ years.
c. Federal law	3 _____ years.	f. Federal retention instructions	_____ years.

Attach copy or excerpt of laws or regulations. Explain administrative need.
Federal Law requires project related cost accounting records must be retained 3 years after the fiscal or calendar year in which the file was created.

FHPM Volume 1 Chapter 6 Section 2

12. Approved Disposition Instructions This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☒ Fiscal Year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

NOTE: DOT must request final clearance from the FHWA division prior to the destruction of these records. Such clearance will be contingent upon the completion of the audit and the clearance of all questions raised. Request final clearance from DOT Internal Audit to insure that all internal investigations have been cleared.

Cost Accounting Office - Cut off file at end of each FY, transfer to local holding area; hold 1 year; transfer to Record Center; hold 2 years; then destroy.

Warehouse - Cut off file at the end of each FY; hold in current files area 1 year; then destroy.

Amends Standard - 137 74-46

Approved 5/25/72 - Amended 2/15/74

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>James D. Bryant</i>	7-31-85	<i>Martha B. Beck</i>	7/30/85
State Records Committee (Signature)		Date	
State Auditor/Designee		8/20/85	
Secretary of State/Designee		5/19/85	
Attorney General/Designee		10/8/85	

Recommendations in paragraph 12 are approved.
(If disapproved, attach letter of explanation.)



STATE
OF
GEORGIA

Application for
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE
DEPARTMENT OF ARCHIVES & HISTORY
RECORDS MANAGEMENT DIVISION

233-11
7

1. Application Date 2-4-74		INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.		FOR RECORDS MANAGEMENT DIVISION USE Date Received. Application No. Date Completed FEB - 4 1974 74-46 FEB 15 1974	
3. AGENCY, Division, Subdivision & Administering Office Address Department of Transportation Division of Administration Office of General Support Services Atlanta, Georgia				4. Person to Contact Annette Mitchell	
				5. Working Title Acctg. Assistant	6. Tel. No. 656-5256
7. ACTION REQUESTED To Amend Application No. 137 <input checked="" type="checkbox"/> ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. <input type="checkbox"/> DISPOSE OF PRESENT ACCUMULATIONS; NO FURTHER ACCUMULATION ANTICIPATED.					
8. Earliest & Latest Dates of Series 1971 - To Date		9. Exact Series Title Warehouse Supplies Inventory Control File			
10. What is the function of the office in which this record series is created The Division of Administration provides staff support to the Department in the areas of general accounting, audits and fiscal procedures, personnel and training, contracts procurement and administration, equipment control, purchasing, inventory and warehouse control, general files, records management, Department budget and air travel service.					
11. This file contains the following documents (include form numbers and titles, if any, and file arrangement): Documents relating to the control of and cost accounting system for warehouse inventories. Included are DOT warehouse request invoice (form DOT 592) and DOT book to warehouse reconciliation form (Ledger sheet) File is arranged chronologically by calendar year, thereunder numerically by warehouse number.					
ATTACH SAMPLES OF THE FILE					
12. EQUIPMENT OCCUPIED		No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	
Letter-size File Drawers		4	6	5 1/2 8	
Legal-size File Drawers				In Office(s) In Storage Area(s)	
				10	
Record Center Boxes			20	This Year's Last Year's Preceding Year's All Prior Year's	
				10 1 -- --	
				AVERAGE DAILY REFERENCES	

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

See Attachment #1

13. Is this the Record Copy of the series? ☒ [X] ☐ []
14. Is there a duplication of this series in another office or agency? ☒ [X] ☐ []
15. Is the information contained in this series ever summarized or published? Attach copy of summary or publication. ☒ [X] ☐ []
16. Does the series contain classified information requiring security handling? ☐ [] ☒ [X]
17. Does the series initiate, amend or terminate agency policies and procedures? ☐ [] ☒ [X]
18. Could the function be performed if the files were lost or destroyed? ☐ [] ☒ [X]
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ [] ☒ [X]
20. Does the record series provide data as input to an EDP file? ☒ [X] ☐ []
21. Does the record series contain documentation produced as EDP printout? ☐ [] ☒ [X]
22. Has the Federal Government issued instructions governing retention/disposition of these files? ☒ [X] ☐ []
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☐ [] ☒ [X]

24. REQUIREMENTS. The following requires the files to be kept 4 years:

- a. ☐ [] STATE LAW b. ☐ [] STATUTE OF LIMITATION c. ☐ [] AUDIT PERIOD d. ☒ [XX] FEDERAL LAW e. ☐ [] ADMINISTRATIVE DECISION f. ☐ [] HISTORICAL VALUE

(Cite Law, Statute, or other reason for the retention requirement)

FHWA PPM 30-9 -- Project related cost accounting records must be retained 4 years after the fiscal or calendar year in which the file was created,

25. AGENCY RECOMMENDATIONS: This agency recommends that the file series be cut off at the end of each

- ☐ [] CALENDAR YEAR - ☐ [] FISCAL YEAR - ☐ [] Other

then:

- ☐ [] Hold in the current files area month(s)/ year(s):
- ☐ [] Transfer to ☐ [] State Records Center ☐ [] Local Holding Area; hold year(s):
- ☐ [] Destroy.
- ☐ [] Transfer to State Archives for permanent retention.
- ☐ [] Destroy immediately after cut-off.
- ☐ [] Other: (Specify)

See Attachment #2

(Indicate briefly rationale for recommendations above/or write additional remarks):

Attach Samples of the Series

Records Management Officer

26. Recommendations		<input type="checkbox"/> [] Approved	<input type="checkbox"/> [] Disapproved	Head of Agency/Designee	Date
in Paragraph		<input checked="" type="checkbox"/> [X] Approved	<input type="checkbox"/> [] Disapproved	Department of Audits/Designee	Date
25 are:		<input checked="" type="checkbox"/> [X] Approved	<input type="checkbox"/> [] Disapproved	Secretary of State/Designee	Date
		<input checked="" type="checkbox"/> [X] Approved	<input type="checkbox"/> [] Disapproved	Department of Law/Designee	Date

Attachment #2

Warehouse Supplies Inventory Control File

Agency Recommendations:

*Cost Accounting Office: Cut off file at end of each calendar year; transfer to local holding area; hold 1 year; transfer to Records Center; hold 3 years; then destroy.

Warehouse: Cut off File at end of each calendar year; hold in current files area 1 year; then destroy.

*Note: DOT must request final clearance from the FHWA division engineer prior to the destruction of these records. Such clearance will be contingent upon the completion of the audit and the clearance of all questions raised.

Request final clearance from DOT Internal Auditors to insure that all internal investigations have been cleared.

1. Application Date 4-27-72	INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.	FOR RECORDS MANAGEMENT DIVISION USE	
2. Agency Application No. 1		Date Received MAY 23 1972	Application No. 137
3. AGENCY, Division, Subdivision & Administering Office Address Georgia Transportation Agency Finance and Audits Payroll and Budgeting No. 2 Capitol Square Atlanta, Georgia 30334		4. Person to Contact Annette Mitchell	
		5. Working Title Accounting Asst.	6. Tel. No. 656-5237

7. ACTION REQUESTED

- ☒ ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. ☐ DISPOSE OF PRESENT ACCUMULATION; NO FURTHER ACCUMULATION ANTICIPATED.

8. Inclusive Dates

1956 - to date

9. EXACT SERIES TITLE

Cost Accounting and Inventory Control Files

10. What function performed resulted in creation of this series

1. Performs the Accounting Operations related to Payrolls, payroll reports, budgets, budget reports, inventory control, cash forecasting and records management.
2. Performs the continuous review of accounting procedures to insure that they comply with new legislation or changes in policies or procedures relative to budgets, budget reports and payroll operations.
3. Analyses operating budgets for all units of the Department and prepares special and regular reports.
4. Assists and advises employees as to Social Security and Retirement Benefits and answers inquiries regarding survivor's benefits, Health Insurance Coverage and Federal Tax deductions regulations.
5. Processes scheduled merit increases for employees of the Finance and Audits Division in accordance with Merit System Regulations.
6. Performs the various Cost Accounting functions for the Department.

11. DESCRIPTION OF SERIES - Include Form No. & Form Title, if any

1. Department of Transportation Book to Warehouse Reconciliation Form (To reconcile supplies inventory).
2. Department of Transportation Interdepartmental Invoice (For Cost Accounting records and Inventory Control purposes on (Warehouse Supplies).
3. Shop invoices (used for cost accounting on Department of Transportation in charging for project work and other cost accounting functions.)
4. Cost Accounting printout of Actual and Estimated Cost on Department of Transportation equipment (Department of Transportation Detailed Transaction Register.
5. Bulk Petroleum Invoices (Petroleum invoices for petroleum purchased from inventory tanks.

COPY

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers	Cu. Ft. of Records
Letter-size File Drawers	4	8		6 shelves 10 5"x8"	25
Legal-size File Drawers			Floor Space Occupied (Square Feet)	In Office(s) 8	In Storage Area(s) 10
5"x8" 20 dr. card file	20	3	By Annual Accumulation	This Year's	Last Year's
Shelves		11	AVERAGE DAILY REFERENCES	10	2
				1	0

13. Is this the Record Copy of the series? ☒ ☐
14. Is there a duplication of this series in another office or agency? Copy of Shop invoices in Field Division and Shop. Summary of Cost Charges for shop invoices and interdepartmental invoices and other charges duplicated at General Ledger. ☒ ☐
15. Is the information contained in this series ever summarized or published? ☒ ☐
- Invoices summarized on computer print-out for cost accounting purposes.
16. Does the series contain classified information requiring security handling? ☐ ☒
17. Does the series document policies and procedures of agency's operation or function? ☒ ☐
- Documents produced as a procedure in accounting for cost and inventory control
18. Could the function be performed if the files were lost or destroyed? ☒ ☐
- Invoices could be obtained from field divisions and shops but not original.
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ ☒
20. Does the record series provide data as input to an EDP file? ☒ ☐
- Input for a cost accounting EDP File and Printout.
21. Does the record series contain documentation produced as EDP printout? ☒ ☐
- A summary of interdepartmental charges.
22. Is the series affected by Federal or grant funds? ☒ ☐
- Used to make charges to Federal Projects and as support of such.
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☐ ☒

24. REQUIREMENTS. The following requires the files to be kept 4 years:

a. ☐ STATE LAW b. ☐ STATUTE OF LIMITATION c. ☐ AUDIT PERIOD d. ☒ FEDERAL LAW e. ☐ ADMINISTRATIVE DECISION f. ☐ HISTORICAL VALUE

(Cite Law, Statute, or other reason for the retention requirement)

Federal Regulations PPM 30-9 Appendix A States that Accounting and Financial Records may be disposed of as early as 4 years after the close of the Fiscal or Calendar Year in which the entry was created.

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each ☐ CALENDAR YEAR ☒ FISCAL YEAR ☐ OTHER, then:

A. ☐ Destroy immediately after cut off.

B. ☐ Hold in current files area month(s)/ year(s), then:

1 ☐ Destroy.

2 ☐ Transfer to records center; hold year(s), then:

a ☐ Destroy.

b ☐ Transfer historical material to Archives; destroy remainder.

3 ☐ Destroy after audit (or year(s) after audit).

C. ☐ Hold in current files area indefinitely.

D. ☐ Hold in current files area year(s), then transfer to Archives permanently.

E. ☒ Other Hold in current files area 1 year or until after audit; then ship to the Records Center to be held for 3 years; then destroy.

(Indicate briefly rationale for recommendations above/or write additional remarks):

Records pending litigation should be kept until cleared.

(ATTACH SAMPLES OF THE SERIES WHEN POSSIBLE)

26 Inventory taken by <i>John J. Kitchens</i>	Recommendations prepared by <i>John J. Kitchens</i>	Approved for Division Date <i>John J. Kitchens</i>	Records Management Officer Date <i>John J. Kitchens</i> 5-10-72
Recommendations in Paragraph 25 are:	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Head of Agency <i>[Signature]</i>	Date
	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Dept. of Audit <i>[Signature]</i>	Date 5-24-72
	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Secretary of State/Designee <i>Carroll Hart</i>	Date 5-22-72
	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Dept. of Law <i>[Signature]</i>	Date 5-25-72